

9-7-04

DT03 Rec'd PCT/PTO 03 SEP 2004

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FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 07-2004)

ATTORNEY'S DOCKET NUMBER

## TRANSMITTAL LETTER TO THE UNITED STATES

2002JP302

DESIGNATED/ELECTED OFFICE (DO/EO/US)

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

NOT ASSIGNED 10/506874

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

PCT/JP03/05945

May 13, 2003

May 16, 2002

TITLE OF INVENTION

HYDROPHILIZATION-ACCELERATING AND HYDROPHILICITY-KEEPING AGENTS FOR  
POLYSILAZANE-CONTAINING COATING FILMS

APPLICANT(S) FOR DO/EO/US

Tadashi SUZUKI, Hiroshi HARA, Osamu FUNAYAMA, Hideo TAKEUCHI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 540353217 US
23. ☒ Other items or information:

Form PCT/IB/301

Form PCT/IB/304

Form PCT/IB/308

WO 03/097760 A1

U.S. APPLICATION NO (if known, see 37 CFR 1.5) <b>10/1506874</b>		INTERNATIONAL APPLICATION NO. <b>PCT/JP03/05945</b>		ATTORNEY'S DOCKET NUMBER <b>2002JP302</b>	
24. The following fees are submitted:. <b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) :</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1080.00</b> <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$920.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$770.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$730.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b> <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>CALCULATIONS PTO USE ONLY</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				<b>\$0.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	17 - 20 =	0	x \$18.00	<b>\$0.00</b>	
Independent claims	2 - 3 =	0	x \$86.00	<b>\$0.00</b>	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$920.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				<b>\$0.00</b>	
<b>SUBTOTAL =</b>				<b>\$920.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$920.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$920.00</b>	
				Amount to be refunded	\$
				charged	\$

- a. ☐ A check in the amount of \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 03-2060 in the amount of \$920.00 to cover the above fees.
- c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-2060
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

ALAN P. KASS  
CLARIANT CORPORATION  
70 MEISTER AVENUE  
SOMERVILLE, NJ 08876

Customer No. 26,289

  
SIGNATURE

ALAN P. KASS

NAME

32,142

REGISTRATION NUMBER

September 3, 2004

DATE

101506874

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): **Tadashi SUZUKI et al.**

DT04 Rec'd PCT/PTO 03 SEP 2004

2002JP302

Application No. <b>NOT ASSIGNED</b>	Filing Date <b>September 3, 2004</b>	Examiner <b>NOT ASSIGNED</b>	Customer No. <b>26,289</b>	Group Art Unit <b>NOT ASSIGNED</b>
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Invention:

**HYDROPHILIZATION-ACCELERATING AND HYDROPHILICITY-KEEPING AGENTS FOR  
POLYSILAZANE-CONTAINING COATING FILMS**

I hereby certify that the following correspondence:

**WIPO Publication of 03/097760 A1 - 1 Page**

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

**September 3, 2004**

*(Date)*

**MARIA T. SANCHEZ**

*(Typed or Printed Name of Person Mailing Correspondence)*

  
*(Signature of Person Mailing Correspondence)*

**EV 540353217 US**

*("Express Mail" Mailing Label Number)*

**Note: Each paper must have its own certificate of mailing.**

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Tadashi SUZUKI et al.

DT04 Rec'd

PCT/PTO

Docket No.

03 SEP 2004

2002JP302

10/506874

Application No. NOT ASSIGNED	Filing Date September 3, 2004	Examiner NOT ASSIGNED	Customer No. 26,289	Group Art Unit NOT ASSIGNED
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September 3, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)*  
*(Signature of Person Mailing Correspondence)*EV 540353217 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

10/506874

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Applicant(s): Tadashi SUZUKI et al.

DT04 Rec'd PCT/PTO 03 SEP 2004

Docket No.

Application No. NOT ASSIGNED	Filing Date September 3, 2004	Examiner NOT ASSIGNED	Customer No. 26,289	Group Art Unit NOT ASSIGNED
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September 3, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EV 540353217 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Tadashi SUZUKI et al.

10/506874  
DT04 Rec'd PCT/PTO 03 SEP 2004  
2002JP302Application No.  
NOT ASSIGNEDFiling Date  
September 3, 2004Examiner  
NOT ASSIGNEDCustomer No.  
26,289Group Art Unit  
NOT ASSIGNED

Invention:

**HYDROPHILIZATION-ACCELERATING AND HYDROPHILICITY-KEEPING AGENTS FOR  
POLYSILAZANE-CONTAINING COATING FILMS**

I hereby certify that the following correspondence:

Form PCT/IB/308 - 1 Page

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September 3, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)*  
*(Signature of Person Mailing Correspondence)*EV 540353217 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Tadashi SUZUKI et al.

Docket No.

10/506874  
2002P902

DT04 Rec'd PCT/PTO 03 SEP 2004

Application No. <b>NOT ASSIGNED</b>	Filing Date <b>September 3, 2004</b>	Examiner <b>NOT ASSIGNED</b>	Customer No. <b>26,289</b>	Group Art Unit <b>NOT ASSIGNED</b>
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Invention:

**HYDROPHILIZATION-ACCELERATING AND HYDROPHILICITY-KEEPING AGENTS FOR  
POLYSILAZANE-CONTAINING COATING FILMS**

I hereby certify that the following correspondence:

**Patent Application - 44 Pages***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

September 3, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)*  
*(Signature of Person Mailing Correspondence)*EV 540353217 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **Tadashi SUZUKI et al.****10/506874**

DT04 Rec'd PCT/PTO 03 SEP 2004

Application No. <b>NOT ASSIGNED</b>	Filing Date <b>September 3, 2004</b>	Examiner <b>NOT ASSIGNED</b>	Customer No. <b>26,289</b>	Group Art Unit <b>NOT ASSIGNED</b>
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Invention:

**HYDROPHILIZATION-ACCELERATING AND HYDROPHILICITY-KEEPING AGENTS FOR  
POLYSILAZANE-CONTAINING COATING FILMS**

I hereby certify that the following correspondence:

**Declaration For Utility Or Design Patent Application - 3 Pages***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

**September 3, 2004***(Date)***MARIA T. SANCHEZ***(Typed or Printed Name of Person Mailing Correspondence)*  
*(Signature of Person Mailing Correspondence)***EV 540353217 US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**



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107506874

2002JP302

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Application No. NOT ASSIGNED	Filing Date September 3, 2004	Examiner NOT ASSIGNED	Customer No. 26,289	Group Art Unit NOT ASSIGNED
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Invention:

**HYDROPHILIZATION-ACCELERATING AND HYDROPHILICITY-KEEPING AGENTS FOR  
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I hereby certify that the following correspondence:

**International Search Report for PCT/JP03/05945 - 1 Page***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

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Applicant(s): Tadashi SUZUKI et al.

Docket No.  
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2002JP302Application No.  
**NOT ASSIGNED**Filing Date  
**September 3, 2004**Examiner  
**NOT ASSIGNED**Customer No.  
**26,289**Group Art Unit  
**NOT ASSIGNED**

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**HYDROPHILIZATION-ACCELERATING AND HYDROPHILICITY-KEEPING AGENTS FOR  
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I hereby certify that the following correspondence:

Transmittal Letter - 2 Pages

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

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